



12-22-99

GAU2811\$

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415/433-4150

Address to:  
Box CPA  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Attorney's Docket No. ALNC-5301  
[B-5500]  
First Named Inventor Ritu Shrivastava  
Examiner: S. Crane  
Art Unit: 2811

**CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTAL**

*Submit an original and a duplicate of transmittal for fee processing.*  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

**CERTIFICATION UNDER 37 CFR § 1.10**

I hereby certify that this New Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date December 21, 1999, in an envelope bearing "Express Mail Post Office To Addressee" Mailing Label Number EL254107990US addressed to: Box CPA, Assistant Commissioner for Patents, Washington, D.C. 20231.

HOWARD WONG

(Name of person mailing paper)

(Signature)

Sir:

This is a request for filing a  
☒ continuation  
☐ divisional application

under 37 CFR 1.53(d) (continued prosecution application (CPA)) of prior application number 08/845,752 filed on April 25, 1997, entitled FLASH EPROM ARRAY WITH SELF-ALIGNED SOURCE CONTACTS AND PROGRAMMABLE SECTOR ERASE ARCHITECTURE.

**NOTES**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371.

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for the CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request 37 CFR 1.78(a).

1. ☐ Enter the unentered amendment previously filed on    in the prior nonprovisional application.
2. ☐ A preliminary amendment is enclosed.

12/23/99 SLUW61 0000069 08845752  
760.00 DP  
78.00 DP  
234.00 DP  
01 FC:131  
02 FC:102  
03 FC:103

3. - This application is filed by fewer than all of the inventors named in the prior application, 37 CFR 1.53(d)(4).

DELETE the following named inventor(s) named in the prior nonprovisional application:

4. **MAINTENANCE OF COPENDENCY OF PRIOR APPLICATION**

(This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run).

- [X] A petition and fee for extension of time has been filed to extend the term in the pending prior application until December 22, 1999.  
[X] A copy of the petition for extension of time in the prior application is attached.

5. - A new power of attorney or authorization of agent is enclosed.

6. - An Information Disclosure Statement (IDS) is enclosed, including a PTO-1449 and copies of \_ references.

7. X Return Receipt Postcard (MPEP 503 -- should be specifically itemized)

**PAYMENT OF FEES**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	BASIC FEE (\$760)
Total Claims (37 CFR 1.16(c))	33 - 20	* 13	x \$18.00	234
Independent Claims	4 - 3	* 1	x \$78.00	78
___ Multiple dependent claim(s), if any			\$260.00	

\*If less than zero, enter "0".

Filing Fee Calculation \$1072.00

50% Filing Fee Reduction (if applicable) \$

8. **Small Entity Status**

- a. \_\_\_ A small entity statement is enclosed.  
b. \_\_\_ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.  
c. \_\_\_ is no longer claimed.

9. **Payment of Fees**

- X Check(s) in the amount of \$ 1072.00 enclosed.  
\_\_\_ Charge Account No. 12-1420 in the amount of \$ \_\_\_.  
**A duplicate of this transmittal is attached.**

10. x **Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Account No. 12-1420. **A duplicate of this transmittal is attached.**

LIMBACH & LIMBACH L.L.P.

Date: 12-21-99

By:

Name: Michael J. Pollock

Registration No. 29,098

Attorneys for Applicant(s)

# PATENT APPLICATION FEE DETERMINATION RECORD

Effective November 10, 1998

Application or Docket Number

08/845752

## CLAIMS AS FILED - PART I

(Column 1)

(Column 2)

FOR	NUMBER FILED	NUMBER EXTRA
BASIC FEE		
TOTAL CLAIMS	33 minus 20= *	13
INDEPENDENT CLAIMS	4 minus 3 = *	1
MULTIPLE DEPENDENT CLAIM PRESENT		

\* If the difference in column 1 is less than zero, enter "0" in column 2

**SMALL ENTITY TYPE** ☐

OR

**OTHER THAN SMALL ENTITY**

RATE	FEE
	380.00
X\$ 9=	
X39=	
+130=	
TOTAL	

OR

RATE	FEE
	760.00
X\$18=	234.00
X78=	78.00
+260=	
TOTAL	1072.00

## CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

<b>AMENDMENT A</b>		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	**	=
	Independent	*	Minus	***	=
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM				

**SMALL ENTITY**

OR

**OTHER THAN SMALL ENTITY**

RATE	ADDITIONAL FEE
X\$ 9=	
X39=	
+130=	
TOTAL ADDIT. FEE	

OR

RATE	ADDITIONAL FEE
X\$18=	
X78=	
+260=	
TOTAL ADDIT. FEE	

<b>AMENDMENT B</b>		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	**	=
	Independent	*	Minus	***	=
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM				

RATE	ADDITIONAL FEE
X\$ 9=	
X39=	
+130=	
TOTAL ADDIT. FEE	

OR

RATE	ADDITIONAL FEE
X\$18=	
X78=	
+260=	
TOTAL ADDIT. FEE	

<b>AMENDMENT C</b>		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	**	=
	Independent	*	Minus	***	=
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM				

RATE	ADDITIONAL FEE
X\$ 9=	
X39=	
+130=	
TOTAL ADDIT. FEE	

OR

RATE	ADDITIONAL FEE
X\$18=	
X78=	
+260=	
TOTAL ADDIT. FEE	

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20."

\*\*\*If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3."

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.